



Financial Industry Regulatory Authority

FINRA Entitlement Form Compliance Vendor Directory (CVD) Account Administrator

Use this form to request a new Account Administrator (AA) account, update an existing AA account or delete an AA account. In order for FINRA to process this form, your organization must have a signed FINRA Entitlement Agreement (FEA) on file with FINRA.

Authorized Signatory Requirement:

An officer of the organization or an individual who has the legal authority to bind the organization must sign this form. An Authorized Signatory may not designate themselves as the AA and sign the form if another Authorized Signatory is available to sign this form.

Organization Information

Organization ID # (if available):	
Organization Name:	
Street Address:	
City, State & Zip Code:	
Organization Email:	Phone Number:

Account Administrator (New or Replace)

First Name:	Middle:	Last:	Suffix:
Email:			
Phone Number:	Fax Number:		

Entitlement Privilege – CVD Application (Account Administrator)

As the CVD Account Administrator for your organization, the privilege below will be set to "User/Administrator". This privilege provides access to the CVD application.

<input checked="" type="checkbox"/>	CVD Form Submit
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Delete AA Account

<input type="checkbox"/>	Delete AA account
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Name of AA to Delete: _____

Reason for Deleting Account: _____

Authorized Signatory

Executed on: _____, 20_____

Authorized Signatory's Signature: _____

- I am an officer or authorized individual who may act on behalf of the Organization and I am designating another individual to be the Account Administrator.
- I am the only officer or authorized individual who may act on behalf of the Organization and I am required to designate myself as the Account Administrator.
- Other (*If other, explain below why another Authorized Signatory is not available to sign this form which designates you as the Account Administrator.*)

If Other, please explain:

Title: _____

Print Name: _____

Email: _____

How To Submit this Form: You may execute this form by completing all required sections and either: a) submit via DocuSign, or use another electronic signature (as defined in 15 U.S.C. § 7006), on condition that (i) you must have in place a technical or technological security procedure to attribute the electronic signature to the signatory, and (ii) a textual or graphical statement is included next to the electronic signature identifying the signatory and the date of execution and noting that the signature was generated electronically; or, b) mail the manually-signed form to the address below; or, c) attach a scanned image (such as a .pdf file or fax) of the manually-signed form to an email or other electronic transmission and send to FINRA.

Mailing Address: FINRA Entitlement Group, 9509 Key West Ave, Rockville, Maryland 20850

Fax: 301-216-3721 or Email: entsupport@finra.org

Questions: Contact the FINRA Gateway Call Center at 301-590-6500